

## Leveraging Collaborative Capacity and Strategic Clarity for results: A community-of-practice approach

APPENDIX: Figures A14-A29 plus Boxes and Tables  
that are cited but do not appear in the body of the report

Prepared for the Annie E. Casey Foundation

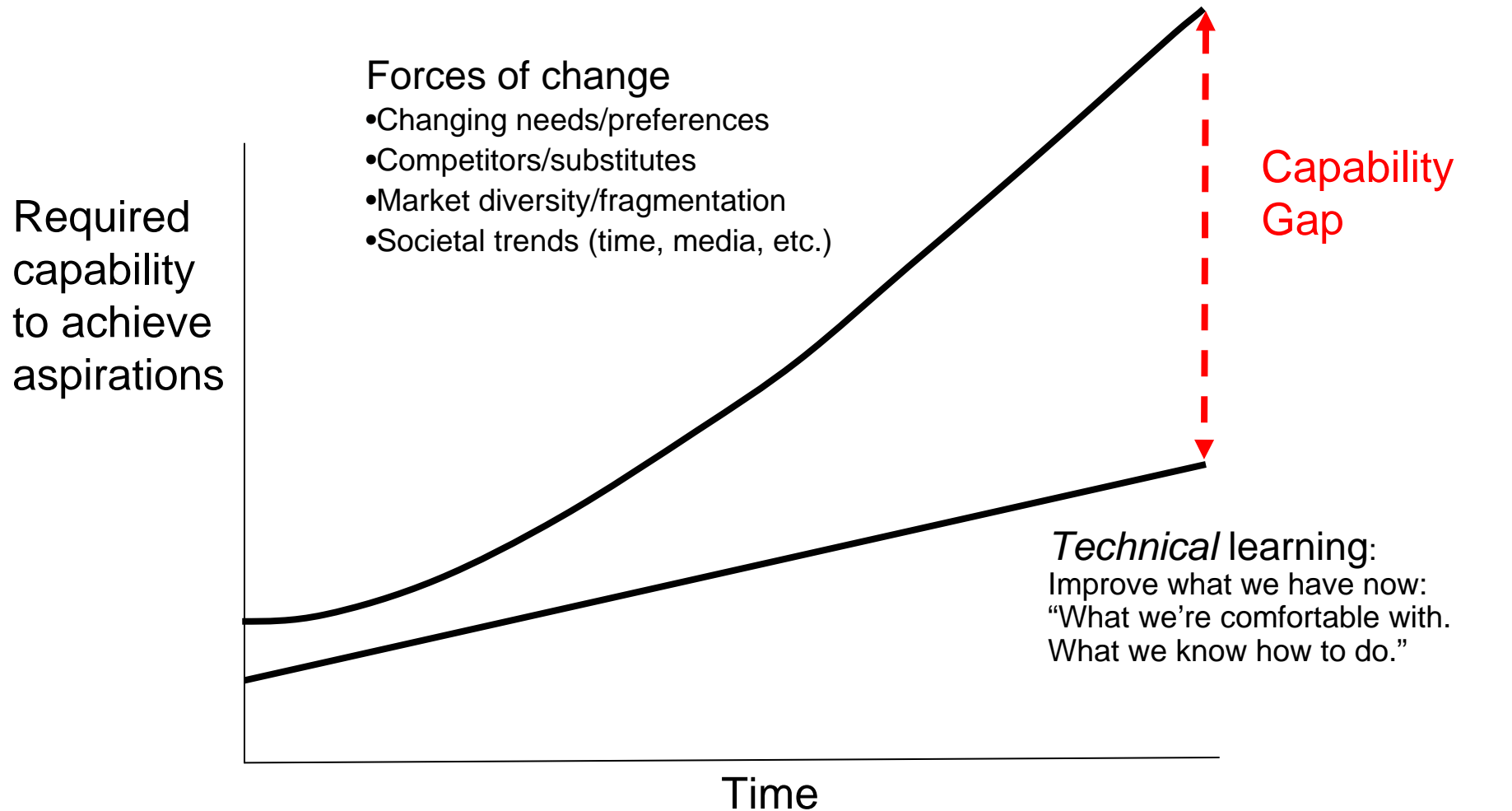
June 12, 2008

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# Are we learning fast enough to thrive?

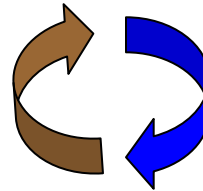


The contrast between Technical and Transformative learning or change has been described at individual, organizational, and societal levels. Examples include technical vs. adaptive leadership (Ron Heifetz); single- vs. double-loop organizational learning (Chris Argyris), and first- and second- vs. third-order societal change (Steve Waddell). In every case, higher-order learning and change involves challenging and often changing basic assumptions or world views.

# Getting results through collaborative strategy-making

## You can't be smart without collaboration

- “Creative abrasion” by combining distinctive perspectives
- Local knowledge
- Peer credibility and support



## And, collaboration for its own sake doesn't work

- Focus collaborative learning on getting key results
- Sharing information and strategies aligns perspectives and spurs action

## Getting smart is both social and technical

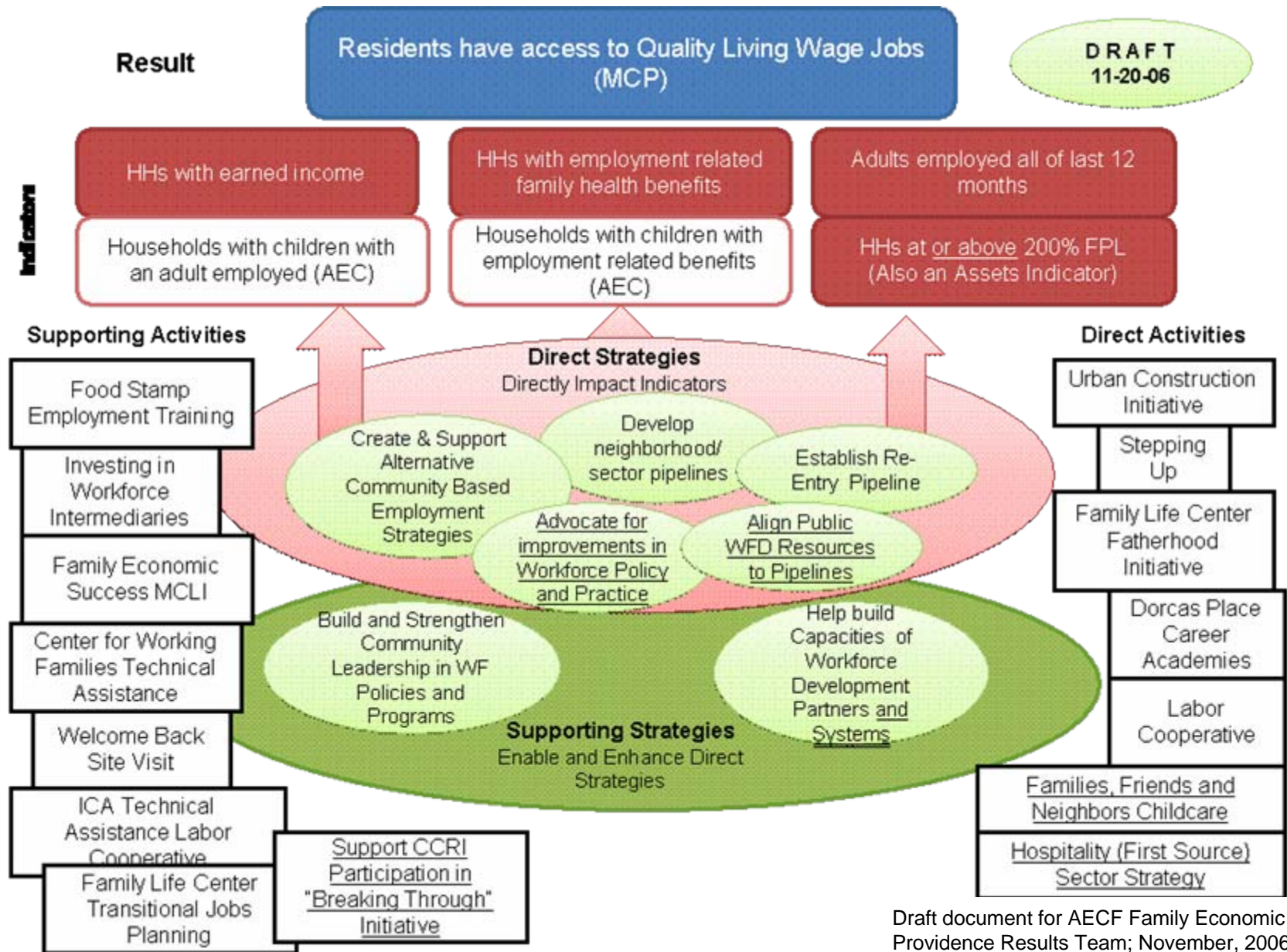
- *Social*: Learning who else is out there and getting to know them
- *Technical*: Learning what are the issues, strategies, opportunities

## Civic intelligence is “pentecostal”: All parties speak with tongues

- Bridging conventional divides across disciplines, sectors, constituencies, and jurisdictions
- Collaboration among researchers, practitioners, funders, and policy-makers—versus conventional “throw it over the wall” or top-down interactions

And further: Collaboration is as essential for *implementing* strategies as it is for conceiving them...

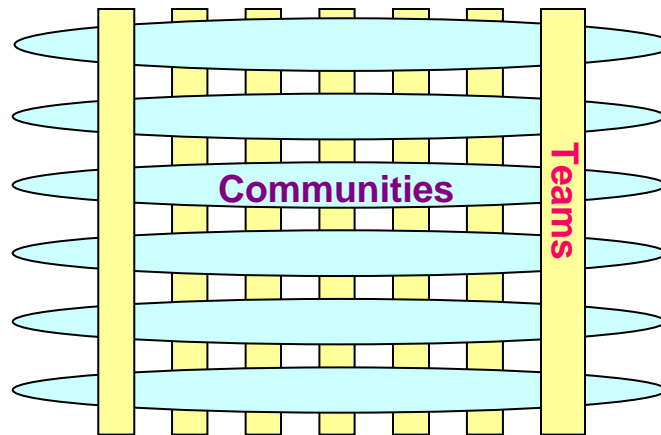
# AECF MC Results team strategic-planning document





# Distinguishing Communities of Practice and Teams: Complementary combination of learning and action

- Communities foster informal relationships and collective learning
- Teams focus on task coordination and accountability for results



## Community of practice

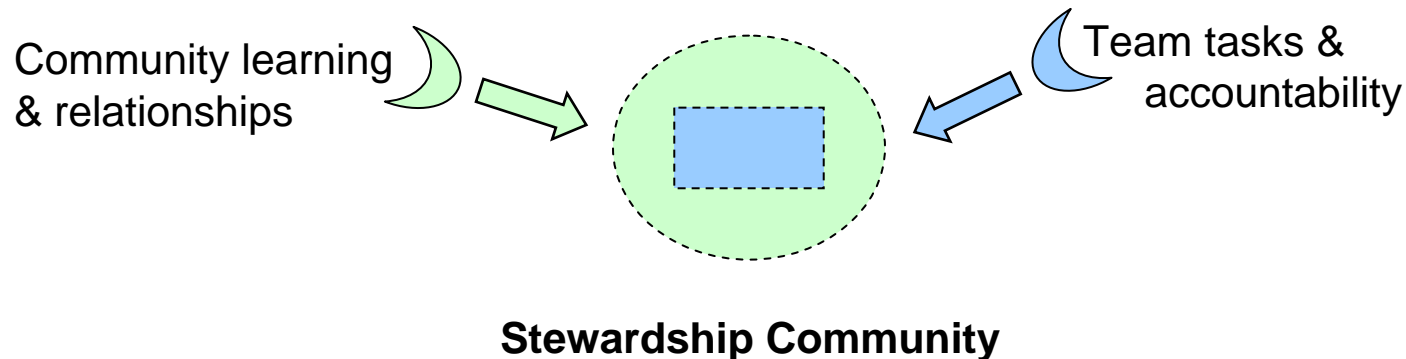
- Passion for issues in their domain
- Internally-led; voluntary participation
- Variety of activities for learning & connecting
- Accountable for knowledge and relationships

## Team/committee

- Clear, compelling outcome goals
- Specified role assignments
- Defined strategies and processes
- Accountability for program results

# Stewardship Communities combine complementary functions of communities of practice and results teams

- Communities foster informal relationships and collective learning
- Teams focus on task coordination and accountability for results



## Community of practice

- Passion for issues
- Internally-led; voluntary participation
- Variety of activities for learning & connecting
- Accountable for knowledge and relationships

## Results team

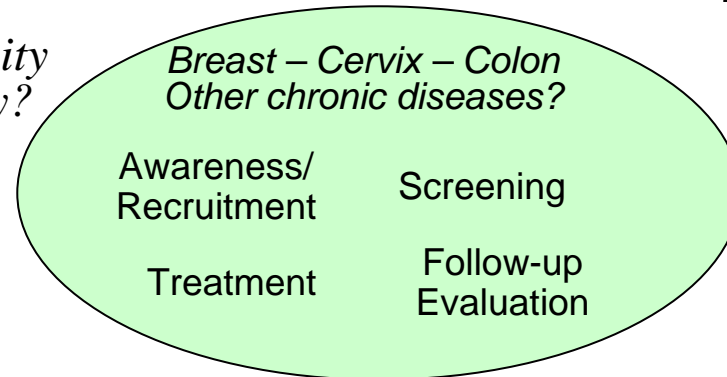
- Clear, compelling goals
- Specified role assignments
- Defined strategies and processes
- Accountability for program results



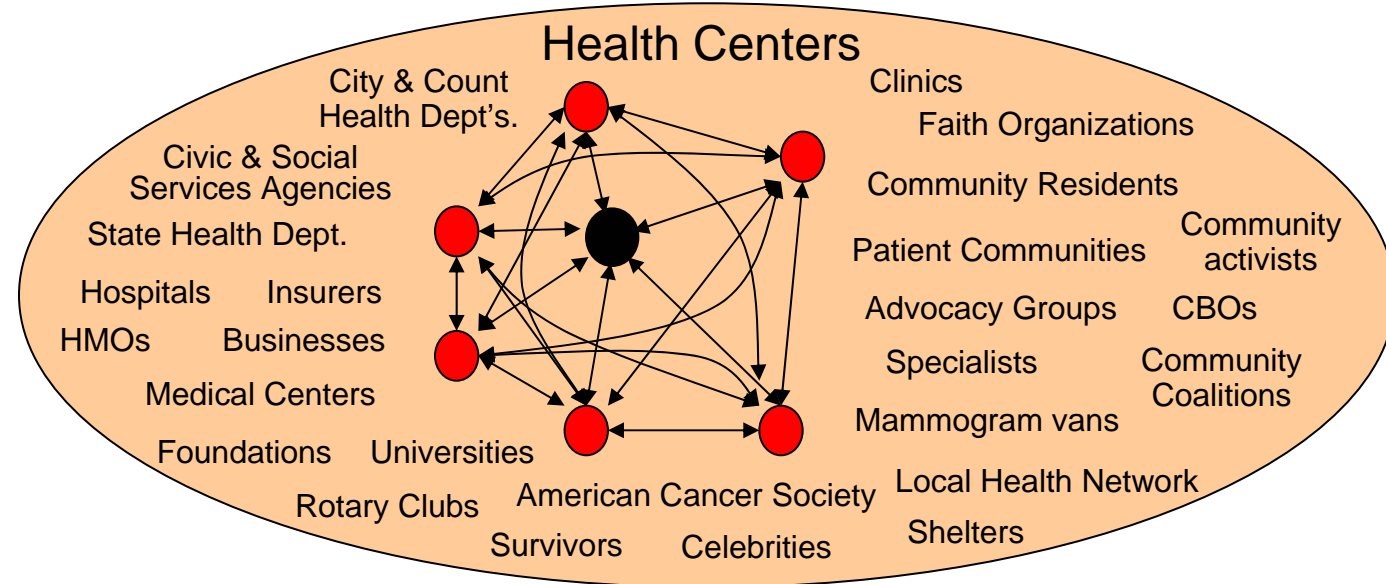
# Healthcare Community of Practice: How maximize resources in our community to reduce cancer mortality and morbidity?

Cancer Collaborative  
Northeast Demonstration

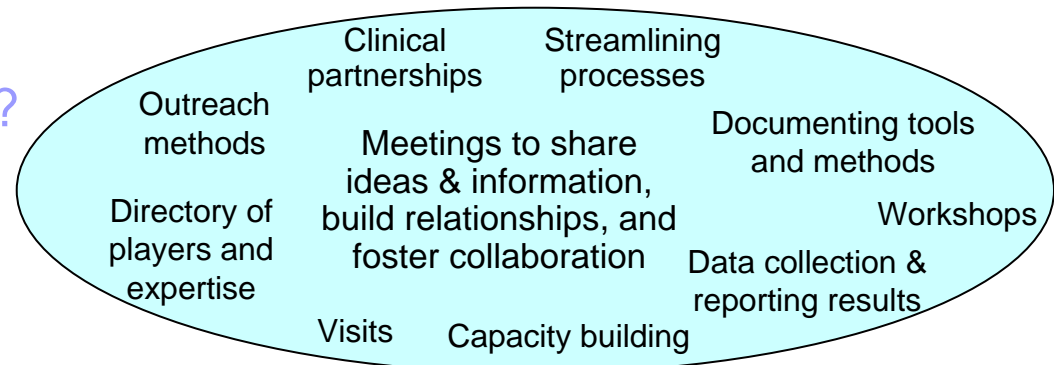
**Domain:**  
What issues to address?



**Community:**  
Who to engage?

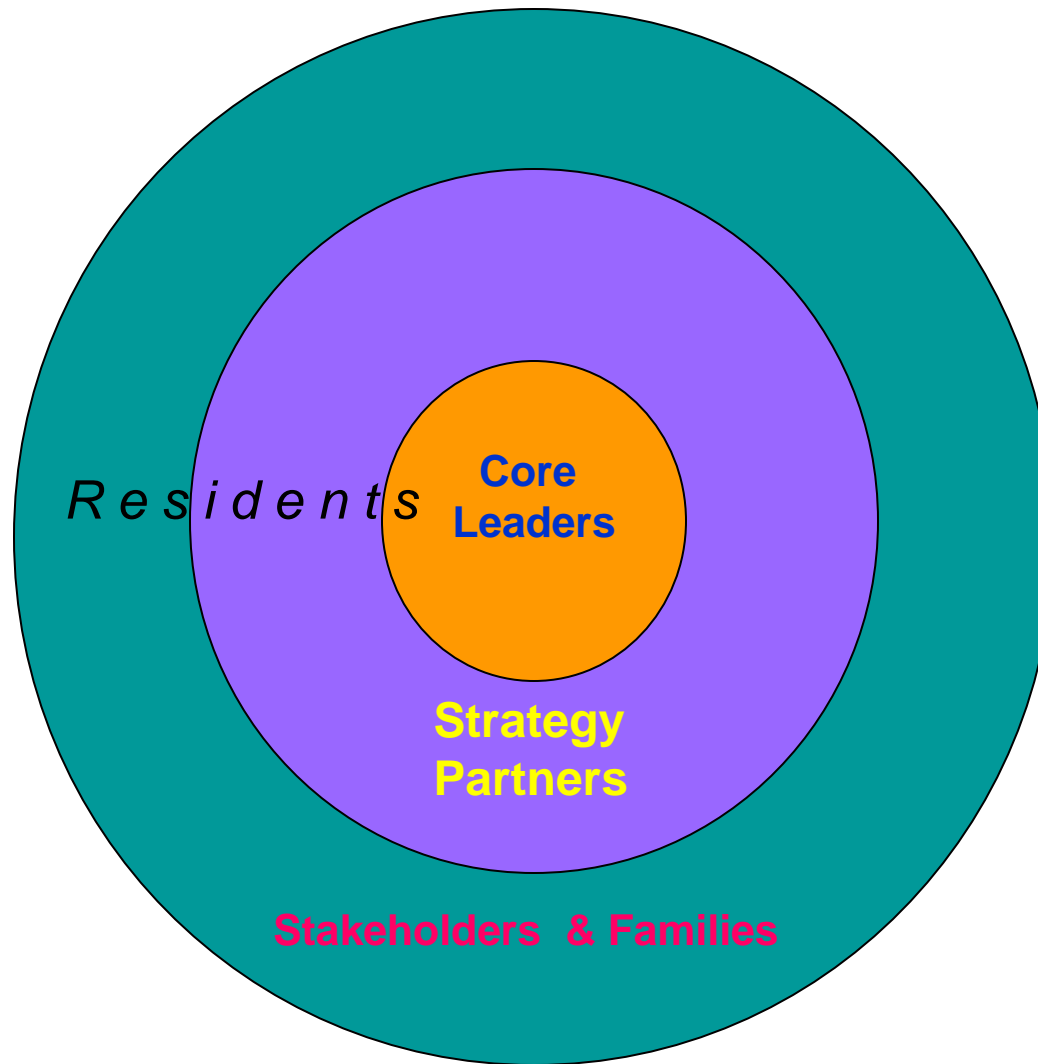


**Practice:**  
How learn and work together?





# Making Connections Partners “Infrastructure”



**Core leaders-** governance & management partners, & staff  
Local Management Entity

**Strategy Partners**  
Mobilize around core set of strategies

**Stakeholders connected & Families touched by MC**

# Selected Approaches to Public Engagement in the U.S.

Organizations	Approach	Distinguishing Characteristics	Notable Applications
America Speaks	21 <sup>st</sup> Century Town Meeting	<ul style="list-style-type: none"> <li>•Large-scale forums (100–5,000) engage citizens in public decision making processes at the local, regional and national levels. Dialogue supported by trained facilitators, keypad polling, networked-laptop computers and (at times) interactive television.</li> <li>•Demographically representative groups of citizens recruited through a variety of means, including grassroots organizing and the media. Major stakeholders are engaged in the process and a clear link to decision making is established from the start.</li> </ul>	<ul style="list-style-type: none"> <li>•Listening to the City: Rebuilding Lower Manhattan, 2002</li> <li>•Neighborhood Action: Washington, DC Strategic Plan and Budget, 1999-2003</li> <li>Americans Discuss Social Security, 1997-1999</li> <li>•<a href="http://www.americaspeaks.org">www.americaspeaks.org</a></li> <li>•<a href="http://www.businessofgovernment.org/main/publications">www.businessofgovernment.org/main/publications</a> (see: Lukensmeyer)</li> </ul>
National Charrette Institute	Dynamic Planning Charrette	<ul style="list-style-type: none"> <li>•Multi-day process consisting of a series feedback loops between public workshops and a design studio. Multi-disciplinary design team develops alternative plans based on public feedback and presents those plans back to the public at workshops. Over about four consecutive days, plans are further refined and developed.</li> <li>•Generally used for urban and regional planning processes.</li> </ul>	<ul style="list-style-type: none"> <li>•Dynamic Planning Trainings for the New York Dept. of Transportation, Arizona Dept. of Transportation, and the US Navy in addition to hundreds of individuals in public trainings</li> <li>•<a href="http://www.charretteinstitute.org">www.charretteinstitute.org</a></li> </ul>
Viewpoint Learning	Choicework Dialogue	<ul style="list-style-type: none"> <li>•Day-long structured dialogues for up to 40 randomly selected participants learn to see an issue from viewpoints other than their own. They identify choices they are willing to support and grapple with the tradeoffs.</li> <li>•Materials present values-based scenarios, which are presented in citizen language—not as policy choices—and used as a starting point to work through the hard choices to define a shared vision, practical steps towards that vision and a set of tradeoffs they could accept.</li> </ul>	<ul style="list-style-type: none"> <li>•Citizen Dialogues on Canada's Health Care System</li> <li>•Citizen Dialogues on the Housing Crisis in San Mateo County</li> <li>•Citizen Dialogues on the Canadian Social Contract</li> <li>•<a href="http://www.viewpointlearning.org">www.viewpointlearning.org</a></li> </ul>

# Selected Approaches to Public Engagement (cont.)

Organizations	Approach	Distinguishing Characteristics	Notable Applications
<ul style="list-style-type: none"> <li>•Civic Results</li> <li>•National Policy Consensus Center</li> <li>•ARS</li> <li>•Community Focus</li> <li>•Others</li> </ul>	Collaborative Community Problem Solving	<ul style="list-style-type: none"> <li>•Important decisions require agreement from key stakeholders: “I can live with it.” There has to be a decision made at each step. Working group created of articulate spokespersons from all stakeholders perspectives (not representatives of organizations)</li> <li>•Initiated by leaders (civic or elected) who are frustrated by the community’s inability to resolve problems or capitalize on opportunities. Group defines problem/ opportunity in a way that clarifies/ redefines self interests; analyzes all potential “approaches”; reaches agreement on appropriate action; clarifies roles and responsibilities; IMPLEMENTS and tracks progress.</li> </ul>	<ul style="list-style-type: none"> <li>•Oregon Solutions</li> <li>•Envision Utah</li> <li>•Joint Venture Silicon Valley</li> <li>•Transit Alliance (Metro Denver)</li> </ul> <p> <a href="http://www.civicresults.org">www.civicresults.org</a>  <a href="http://www.policyconsensus.org">www.policyconsensus.org</a>  <a href="http://www.communityfocus.org">www.communityfocus.org</a>  <a href="http://www.regionalstewardship.org">www.regionalstewardship.org</a> </p>
Study Circles Resource Center	Community-Wide Study Circles	<ul style="list-style-type: none"> <li>•Multiple groups of 8-15 people within a community or region meet regularly over a period of months to discuss a designated issue; concludes with a community Action Forum for creating strategies for the future.</li> <li>•People become more active in their neighborhoods and communities by engaging in informed discussions.</li> </ul>	<ul style="list-style-type: none"> <li>•How Should We Move Forward After 9/11, 2002</li> <li>•Balancing Justice in New York, 1998</li> <li>•Race Relations, Lima, OH, 1993</li> </ul> <p><a href="http://www.studycircles.org">www.studycircles.org</a></p>

Source: Goldman and Torres, AmericaSpeaks

•Others include: [Open Space Technology](http://www.openspacetechnology.org) ([www.wikipedia.com](http://www.wikipedia.com)), Future Search ([www.futuresearch.net](http://www.futuresearch.net)), Dialogue ([www.generativedialogue.org](http://www.generativedialogue.org)), World Café ([www.theworldcafe.com](http://www.theworldcafe.com)), Dropping Knowledge ([www.droppingknowledge.org](http://www.droppingknowledge.org)), etc.

See also: [www.community-problem-solving.net](http://www.community-problem-solving.net) and [www.interactioninstitute.org](http://www.interactioninstitute.org)

# A taxonomy of methods for “reinventing globalization”

	Grassroots activists/NGO's	Policy ideas and action organizations	Big picture/academics & media leaders
“Good Cop”	<ul style="list-style-type: none"> <li>•Education and Capacity Building</li> <li>•Mediation</li> <li>•Dialogue</li> <li>•Partnerships</li> </ul>	<ul style="list-style-type: none"> <li>•Certification</li> <li>•Standards</li> <li>•Codes of conduct</li> </ul>	
	<ul style="list-style-type: none"> <li>•Constituency building</li> <li>•Engaging corporations, government &amp; civil society</li> <li>•Governance structures</li> </ul>	<ul style="list-style-type: none"> <li>•Research publications</li> <li>•Policy development &amp; advocacy</li> <li>•Media appearances</li> </ul>	
“Bad Cop”	<ul style="list-style-type: none"> <li>•Campaigns</li> <li>•Media and messaging</li> <li>•Shareholder action</li> <li>•Boycotts</li> </ul>	<ul style="list-style-type: none"> <li>•Legal action</li> <li>•Dispute resolution</li> </ul>	

- We generally see various combinations of strategies applied in most successful major initiatives
- Contingencies include the stage of the initiative, mutual trust among players (on all sides), urgency/visibility of issue, coordination capacity (time & skills), etc.

# “I started doing this for my kids....”

Composite story

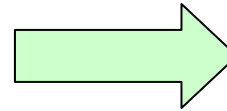
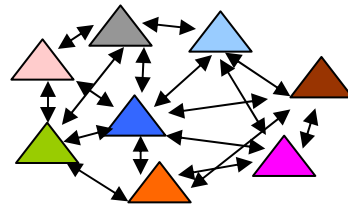
- **Maria Marquez, a single mother** with three young children, the oldest struggling in first grade, is determined that others will be better prepared
- **Hears about Making Connections Leadership Institute** from relatives; she attends the program, meets civic leaders, community organizers, and engaged residents; identifies issues she wants to address
- MCLI helps Maria go **beyond “my own little world”** to learn more, find mentors and colleagues, and get opportunities to make a difference; Making Connections Providence (MCP) supports program participation with on-site childcare, translation, and meals
- Maria **joins the Children Healthy and Prepared to Succeed in School (CHAPSS) community** (aka “results team”) where she meets residents and partners who share her passion and working on similar problems
- At a **cross-site learning exchange**, Maria **hears about a “play and learn” program** in Hawaii that is very successful; she knows from experience that this would work for kids in her neighborhood (including her own!)
- She is encouraged by **conversations with mothers in her neighborhood** and with others in the CHAPSS community
- At a meeting in Baltimore, Maria **advocates passionately**—using local stories—for implementing play-and-learn in Providence (**“I knew it could work here.”**)
- A Foundation **sponsor provides a small grant** for a play-and-learn pilot
- Maria works with CHAPSS colleagues to **organize a network of local mothers** who will host play-and-learn activities in their homes
- New mothers get involved, CHAPSS **non-profit partners find ways to integrate the activities** in extant programs
- **MPC staff and communications efforts help engage new partners** such as the school superintendent, non-profits, and faith organizations working in other neighborhoods
- CHAPSS community members visits the MC Hartford site, and **several Hartford mothers ask to visit Providence** to see play-and-learn in action
- **Maria now works part-time on staff** for the program and organizes the visit by Hartford; she also invites Providence school department officials and Foundation staff to participate (**“I wanted them to see the program’s success first-hand.”**)
- Maria helps **organize a play-and-learn community of practice** of mothers (and some fathers); they hold their own meetings to share stories and explore new approaches; several sign up for MCLI....
- At the next **MCLI reunion Maria tells her story and learns from others** about how after-school programs are helping keep their kids safe and in school. She plans to follow up....
- **Maria’s oldest is now succeeding** in 4<sup>th</sup> grade and her younger two have made smooth transitions from pre-school....

“...What keeps me here are new opportunities.”

# Sustainability depends on stakeholders' collaborative capacity: shared understanding, mutual trust & partnership skills

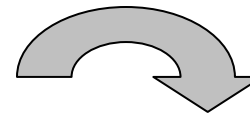
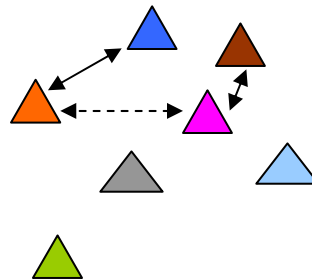
*Where do we stand today? How ready for the future?*

- Bi-lateral and multi-lateral collaborative partnerships
- Collective stewardship for common goals



Long-term results and renewal

- Coordination primarily grant-driven
- Partnerships for organizational priorities, not system results



Limited, short-term achievements

"Will the chickens continue to gather together when the farmer stops throwing the corn?"

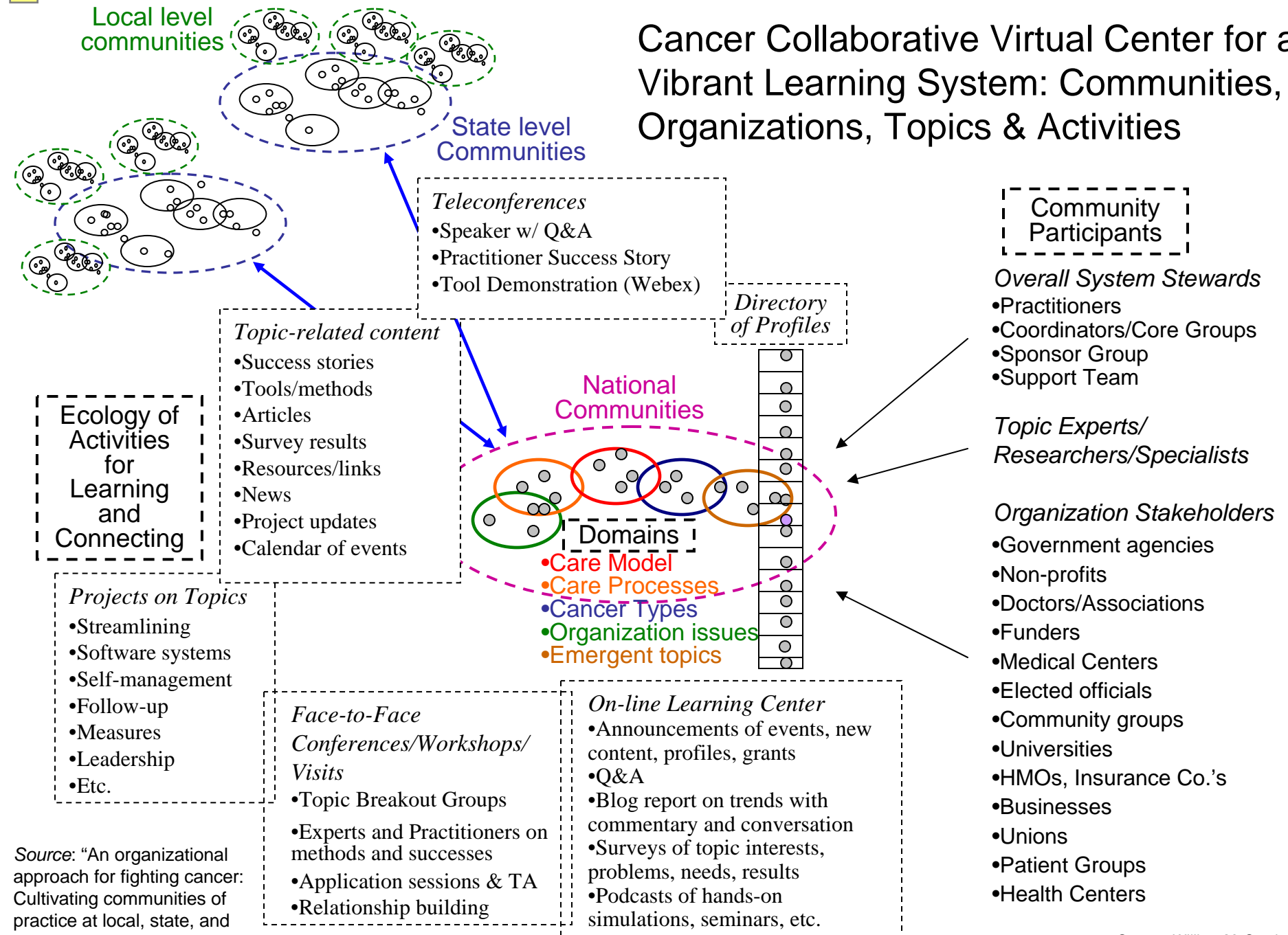
# Stakeholder engagement matrix

<b><i>Analysis/ Stakeholders</i></b>	<b><i>Current relationship</i></b>	<b><i>Ideal relationship</i></b>	<b><i>Challenges</i></b>	<b><i>Action steps</i></b>
<i>Resident constituencies (demographic, issue- based, etc.)</i>				
<i>Non-profits/grantees</i>				
<i>City/County/State government agencies</i>				
<i>Community-based organizations</i>				
<i>Universities/experts</i>				
<i>Various foundations (family, corporate...)</i>				
<i>Board members</i>				
<i>Businesses</i>				
<i>ETC.</i>				





# Cancer Collaborative Virtual Center for a Vibrant Learning System: Communities, Organizations, Topics & Activities



Source: "An organizational approach for fighting cancer: Cultivating communities of practice at local, state, and national levels," W.M. Snyder, 2008

# Quick Quiz: How's the Strategy-Collaboration balance now?

On a 1-5 scale (5 = High), rate how well these statements reflect the current state...



## Strategic Clarity

- We report on progress of specific initiatives and objective outcomes
- At the results-team level, there is a clear plan for specific initiatives that tie into program goals
- I have the resources and support I need to identify smart strategies
- We have allocated resources (time, funds, expertise, influence) for the right mix and timing of strategy-making and capacity-building activities



## Collaborative Capacity

- We report on diversity, quality, and level of mutual engagement of partners/residents
- At the results-team (aka stewardship community) level, there is a core group coalesced for long-term leadership
- I have the resources and support I need to cultivate a sustainable stewardship community



# Elements of collaborative capacity in selected AECF programs

<b>RCI</b>	<b>Jobs Initiative</b>	<b>Making Connections</b>	<b>Neighborhood Health Messengers Initiative</b>	<b>Grants to Community Organizing Institutions</b>
- built on existing community assets	- [no specific CC work]	- “strengthens and supports local infrastructure for community organizing” - explicit social network-building - promotoras and trusted advocates for authentic resident engagement and “transformed relationships	- [no specific CC work]	- grants to Industrial Areas Foundation (IAF) and Communities Organized for Public Service (COPS), plus others
- resident-controlled governance structures (with “lead” agency plus non-profits and funders)		- “community learning network” led by residents - resident leadership network - temporary forums such as neighborhood summits, family circles, etc.		- “built networks of community stakeholders” (for example?)
		- resident task forces and ongoing alliances/coalitions		

<b>New Futures</b>	<b>Family to Family</b>	<b>MHI 4 urban</b>	<b>Plain Talk</b>
- New Partnerships for service delivery	- Local steering committees – advocates and service providers	- Neighborhood Governance Boards – multi-level partnerships (become 501’s; got funded)	- Core group with residents and staff from agencies
- Decision-making forum	- grassroots collaboratives (data on capacity in this case)		
- Integrate & collocate services	- TDM “forges new relationships”		



# Aspects of collaboration: Structures, Processes & Roles

- *Structures* include formal multi-lateral partnership arrangements as well as informal networks (some that operate more or less as communities of practice)\*
- *Processes* include how players interact to work and learn together (e.g., strategy-making, decision-making, collaborative initiatives, dialogues)
- *Roles* include community coordinators, experts, evangelists, etc.

Depending on the initiative in question, Casey has committed to supporting:

Resident-led work	Resident-driven change
Resident leadership	Community capacity
Participatory planning	Natural helpers
Walkers and Talkers	Promotoras
Trusted Advocates	Team decision making

Community collaboratives  
Neighborhood governance  
Local steering committees  
Case manager/mentors  
Community mapping

A way to identify program characteristics according to dimensions of a collaboration system

## Processes

Resident-led work	Case manager/mentors
Resident-driven change	Promotoras
Team decision-making	Resident leadership
Participatory planning	Natural helpers
Community mapping	Walkers and Talkers
	Trusted Advocates

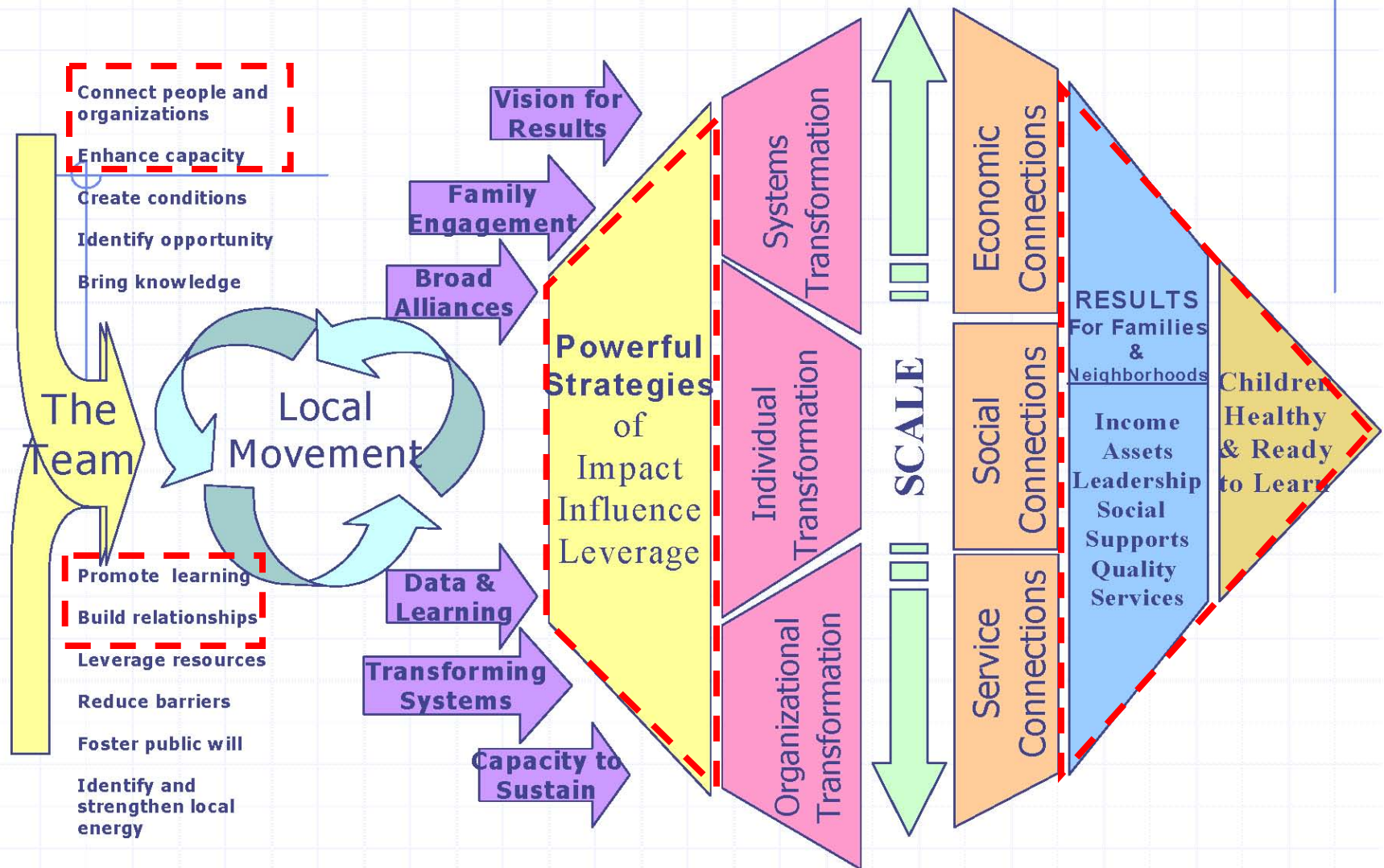
## Structures

Community collaboratives  
Neighborhood governance  
Local steering committees  
Community capacity

Source: "Community Engagement," AECF, Draft, 2007

\*Groups operate as CoPs to the extent to which participation is voluntary, the emphasis is on learning as well as specific outcomes, and the focus is an abiding domain of related issues that members are passionate about

# What's the essence of the MC Theory of Change?



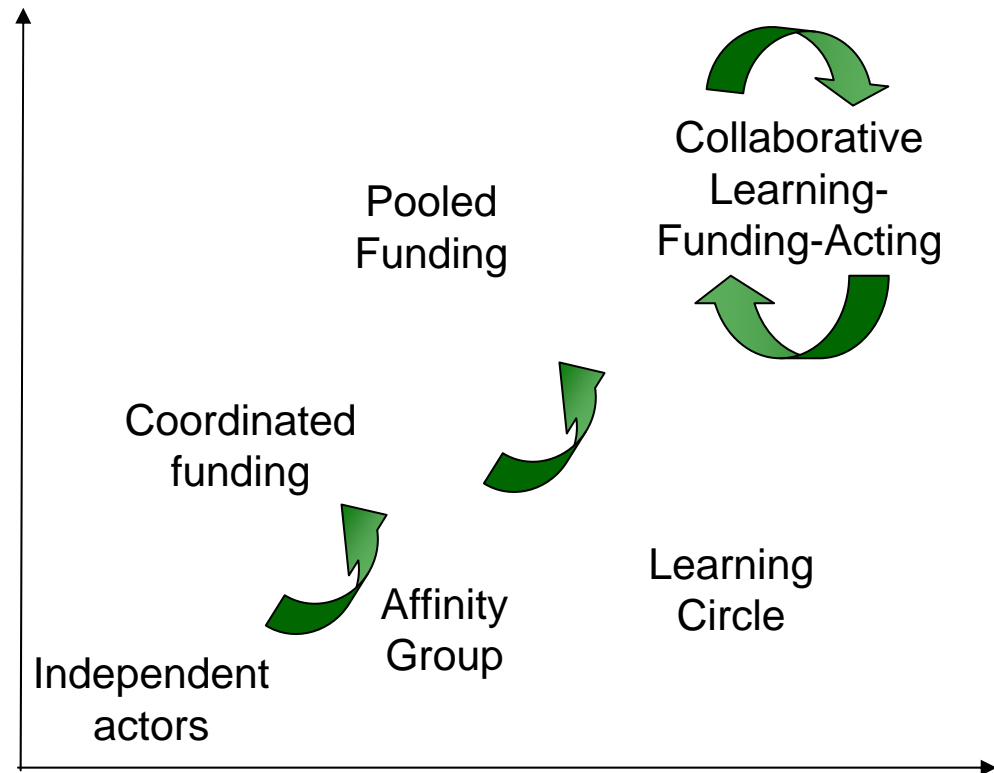
  = Key elements

Note: Figure taken from AECF Making Connections report, "Theory of Change: A Practical Tool for Action, Results and Learning," 2004: 38  
[www.aecf.org/upload/PublicationFiles/CC2977K440.pdf](http://www.aecf.org/upload/PublicationFiles/CC2977K440.pdf)

# The evolution of funder collaboratives—collective learning spurs coordinated action, and so on...

**Action:** Increasing levels of collaboration on strategy, funding, and advocacy

- “It’s hard work, but I think people are looking to us to make this happen more and more.”
- Our involvement ranges from watching collaboration take place through encouragement to facilitation and management.”

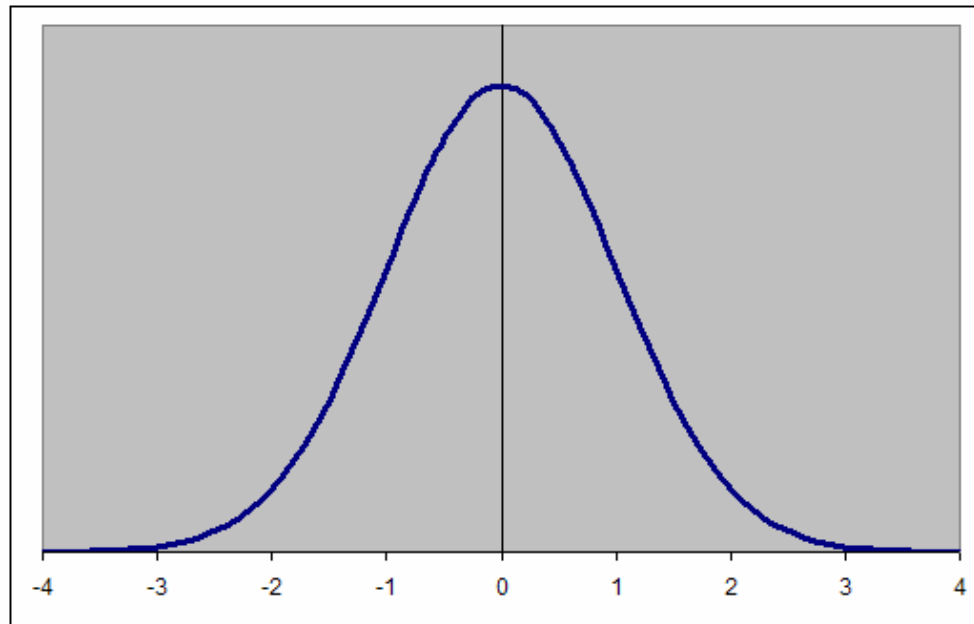


← Pooled Funding      Shared learning, Coordinated action      Collective Learning →

**Learning:** Increasing commitments to joint efforts for learning, innovation, and diffusion

p. 51 fn

- How long does it take in this context (organizational or civic) for an effective practice to spread from one site to many)?
- How effectively are new ideas or methods adapted and applied in other sites? How do innovators assist or facilitate effective adoption?
- “Innovators” and “early adopters” (about 3%) are crucial for discovering and testing new ideas. Early and late majorities ensure they work in different contexts. Strong practitioner communities include all profiles—conservatives help ensure faulty practices do not spread too quickly.
- Communities of practice accelerate processes for vetting, disseminating, and adapting to different contexts. They help innovations make the critical leap—“crossing the chasm”—from early adopters to the early majority (and beyond). Communities of practice are “rails for diffusion.”



## Influencing factors:

- Importance
- Complexity
- Personality profile
- Peer support
- Visible impact

Innovators      Early Majority      Late Majority

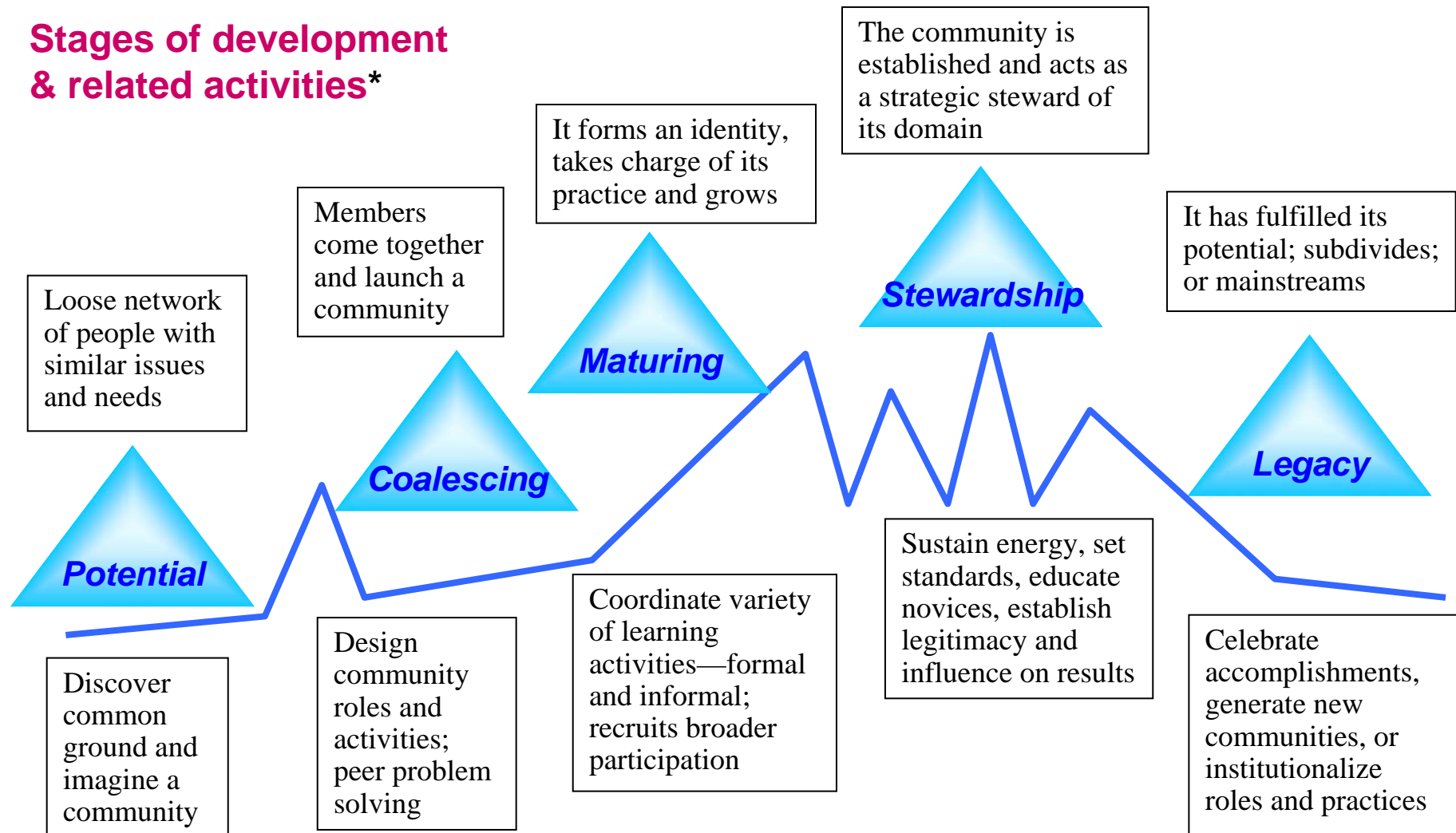
Early Adopters      Laggards

Sources: "Crossing the chasm," G.A. Moore, 1991; "Diffusion of innovations," E.M. Rogers, 1962/1995 (Fourth edition)



# Community development model

## Stages of development & related activities\*



## Evolution from ad-hoc to strategic...and legacy

\* See *Cultivating Communities of Practice*, 2002, chapters 4-5; see also pp. 52-60 in [www.businessofgovernment.org/publications](http://www.businessofgovernment.org/publications) (Authors: Snyder & Briggs)

# The essence of “civic infrastructure” has not changed much over the years: It’s about citizen groups providing stewardship

Box A3

“There must be a positive passion for the public good, the public interest, honour, power and glory, established in the minds of the people, or there can be no republican government, nor any real liberty.”

--- John Adams, 1776, *on the eve of Independence*

“Americans of all ages, all stations in life, and all types of disposition are forever forming associations. . . [This is] the most democratic country in the world.”

-- Alexis de Tocqueville, 1840, *Democracy in America*

“A nation cannot be maintained unless, between the state and individuals, a whole range of secondary groups are interposed. These must be close enough to the individual to attract him strongly to their activities and, in so doing, to absorb him into the mainstream of social life.”

-- Emile Durkheim, 1902, *Division of Labor*

“Only through its intermediate relationships and authorities has any State ever achieved the balance between organization and personal freedom that is the condition of a creative and enduring culture. These relationships begin with the family and with the small informal groups which spring up around common interests and cultural needs.”

-- Roger Nisbett, 1953, *Quest for Community*

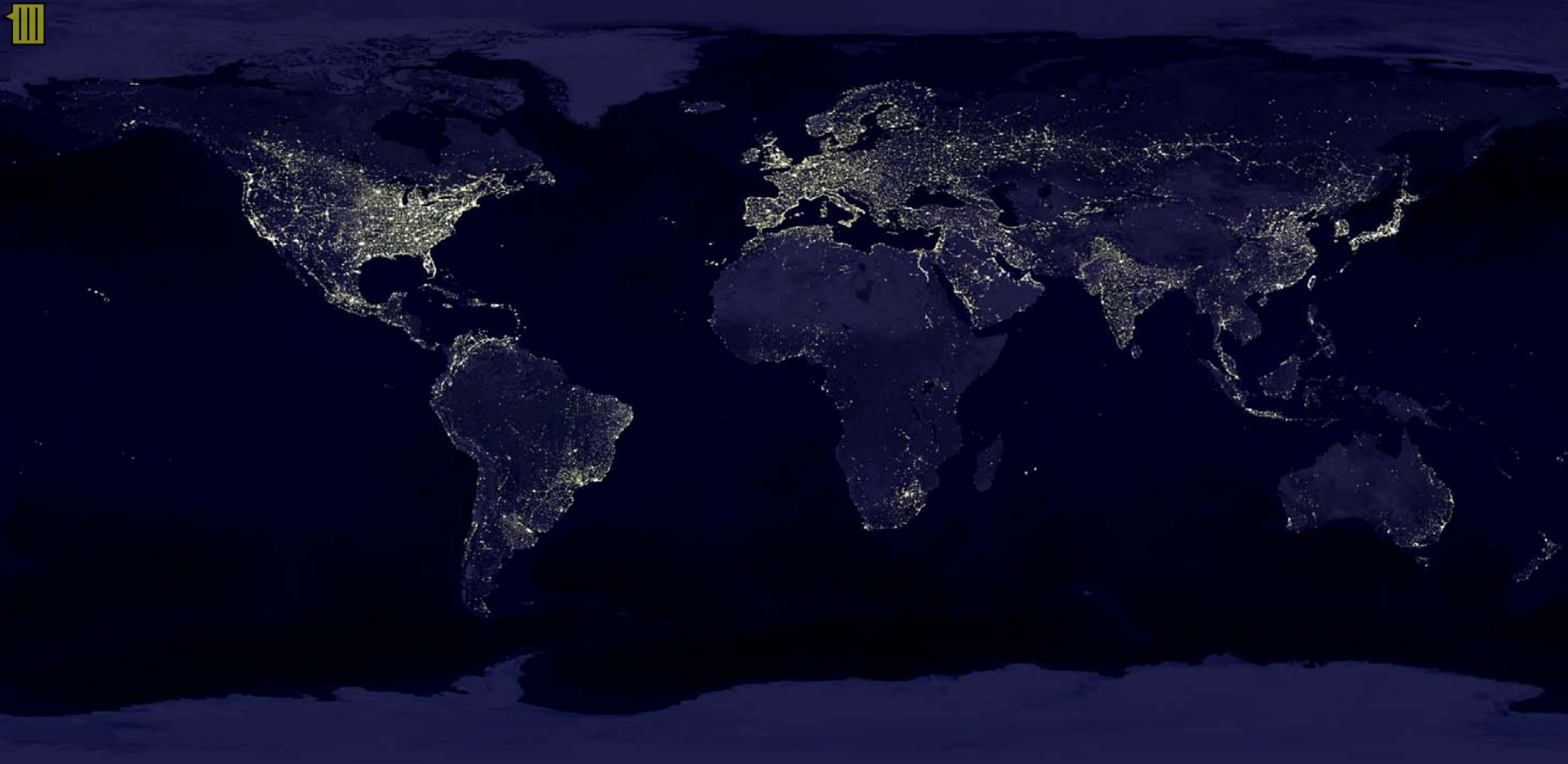
“High on America’s agenda should be the question of how to reverse [recent] adverse trends in social connectedness, thus restoring civic engagement and civic trust.”

-- Robert Putnam, 1996, *Bowling Alone*

\* \* \*

“And above all, I will ask you join in the work of remaking this nation the only way it's been done in America for two-hundred and twenty-one years - block by block, brick by brick, calloused hand by calloused hand.”

-- Barack Obama, 2008, *Acceptance speech as President-elect*



Source: NASA – “Earthlights”

## World community

“By making communities of our cities we take a giant stride toward world community, and in the end lasting peace will come when...world community has been achieved.”

-- Lawrence Hayworth, *The Good City*

“Never doubt that a small group of thoughtful, committed people can change the world. Indeed, it is the only thing that ever has.”

— Margaret Mead

“But at some point in our lives, we all have to decide, as hard as it's going to be, we are going to join together, lock arms, and go about the difficult but noble task of remaking this nation, block by block, county by county, state by state...and you and I together will change this country and change the world.”

-- Barack Obama, *Texas Primary Night Speech*